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Name: Feng Elizondo 12/14/2006  
Signature Date

**TRANSMITTAL LETTER**

The Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: U.S. Utility Patent Application  
Appl. No. 10/776,146 Filed 02/10/2004  
For: **Optical Waveguide Grating Coupler with Varying Scatter Cross Sections**  
Inventor(s): Gunn III, et al.  
Docket No.: LUX-P020

Sir:

The following documents are forwarded in response to Office Action dated 02/22/2006 and Notice of Non-Compliant Amendment dated 11/16/2006:

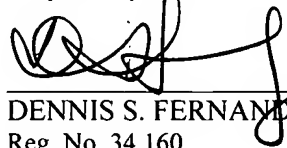
1. Copy of Notice of Non-Compliant Amendment;
2. Corrected amendment;
3. A return postcard.

It is respectfully requested that the attached postcard be stamped with the filing date of the above documents and returned to the addressee as soon as possible.

Applicants do not believe that any payment of fee is needed in association with this communication. However, should Applicants inadvertently miscalculated the required fee, the Commissioner is hereby authorized to charge any necessary amount associated with this communication or credit any overpayment to **Deposit Account No: 500482**.

12/14/2006  
Date

Respectfully submitted,

  
DENNIS S. FERNANDEZ, ESQ  
Reg. No. 34,160

**FERNANDEZ & ASSOCIATES, LLP**  
**PATENT ATTORNEYS**  
Customer No: 22877  
(650) 325-4999  
(650) 325-1203 FAX  
EMAIL: iploft@iploft.com



# UNITED STATES PATENT AND TRADEMARK OFFICE

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DEC 20 2006

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/776,146	02/10/2004	Lawrence C. Gunn III	LUX-P020	3066

7590

11/16/2006

Fernandez & Associates, LLP  
PO Box D  
Menlo Park, CA 94026-6402

EXAMINER

SONG, SARAH U

ART UNIT

PAPER NUMBER

2874

DATE MAILED: 11/16/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

REC'D NOV 20 2006

DOCKETED  
DATE 11/20/2006 TE

DEC 20 2006  
PATENT & TRADEMARK OFFICE

**Notice of Non-Compliant  
Amendment (37 CFR 1.121)**

Application No.

10/776,146

Examiner

Sarah Song

Applicant(s)

GUNN ET AL.

Art Unit

2874

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

The amendment document filed on 25 August 2006 is considered non-compliant because it has failed to meet the requirements of 37 CFR 1.121 or 1.4. In order for the amendment document to be compliant, correction of the following item(s) is required.

THE FOLLOWING MARKED (X) ITEM(S) CAUSE THE AMENDMENT DOCUMENT TO BE NON-COMPLIANT:

- ☐ 1. Amendments to the specification:
  - ☐ A. Amended paragraph(s) do not include markings.
  - ☐ B. New paragraph(s) should not be underlined.
  - ☐ C. Other \_\_\_\_\_.
- ☐ 2. Abstract:
  - ☐ A. Not presented on a separate sheet. 37 CFR 1.72.
  - ☐ B. Other \_\_\_\_\_.
- ☐ 3. Amendments to the drawings:
  - ☐ A. The drawings are not properly identified in the top margin as "Replacement Sheet," "New Sheet," or "Annotated Sheet" as required by 37 CFR 1.121(d).
  - ☐ B. The practice of submitting proposed drawing correction has been eliminated. Replacement drawings showing amended figures, without markings, in compliance with 37 CFR 1.84 are required.
  - ☐ C. Other \_\_\_\_\_.
- ☒ 4. Amendments to the claims:
  - ☐ A. A complete listing of all of the claims is not present.
  - ☐ B. The listing of claims does not include the text of all pending claims (including withdrawn claims)
  - ☐ C. Each claim has not been provided with the proper status identifier, and as such, the individual status of each claim cannot be identified. Note: the status of every claim must be indicated after its claim number by using one of the following status identifiers: (Original), (Currently amended), (Canceled), (Previously presented), (New), (Not entered), (Withdrawn) and (Withdrawn-currently amended).
  - ☐ D. The claims of this amendment paper have not been presented in ascending numerical order.
  - ☒ E. Other: See Continuation Sheet.
- ☐ 5. Other (e.g., the amendment is unsigned or not signed in accordance with 37 CFR 1.4):  
\_\_\_\_\_

For further explanation of the amendment format required by 37 CFR 1.121, see MPEP § 714.

**TIME PERIODS FOR FILING A REPLY TO THIS NOTICE:**

1. Applicant is given **no new time period** if the non-compliant amendment is an after-final amendment or an amendment filed after allowance. If applicant wishes to resubmit the non-compliant after-final amendment with corrections, the **entire corrected amendment** must be resubmitted.
2. Applicant is given **one month**, or thirty (30) days, whichever is longer, from the mail date of this notice to supply the correction, if the non-compliant amendment is one of the following: a preliminary amendment, a non-final amendment (including a submission for a request for continued examination (RCE) under 37 CFR 1.114), a supplemental amendment filed within a suspension period under 37 CFR 1.103(a) or (c), and an amendment filed in response to a *Quayle* action. If any of above boxes 1. to 4. are checked, the correction required is only the **corrected section** of the non-compliant amendment in compliance with 37 CFR 1.121.

**Extensions of time** are available under 37 CFR 1.136(a) only if the non-compliant amendment is a non-final amendment or an amendment filed in response to a *Quayle* action.

**Failure to timely respond** to this notice will result in:


**Abandonment** of the application if the non-compliant amendment is a non-final amendment or an amendment filed in response to a *Quayle* action; or

**Non-entry** of the amendment if the non-compliant amendment is a preliminary amendment or supplemental amendment.

Legal Instruments Examiner (LIE), if applicable

Telephone No.

The text of any deleted matter must be shown by strike-through except that double brackets placed before and after the deleted characters may be used to show deletion of five or fewer consecutive characters in accordance with 37 CFR 1.121(c)(2). See Claims 47, 48 and 52.

  
Sarah Song  
Primary Examiner  
Group Art Unit 2874